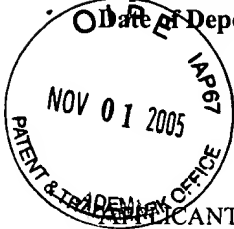


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Date of Deposit: November 1, 2005

Attorney Docket No. 24309-501



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: *Mark Hoffman et al.*

SERIAL NUMBER: 09/696,762

EXAMINER: Nga B. Nguyen

FILING DATE: October 25, 2000

ART UNIT: 3628

FOR: INVESTMENT ADVICE SYSTEMS AND METHODS

Mail Stop AF
Commissioner for Patents
P.O. Box. 1450
Alexandria, VA 22313-1450

NOTICE OF APPEAL

Pursuant to 37 C.F.R. §41.31, Applicants hereby appeal to the Board of Patent Appeals and Interferences from the Examiner's August 5, 2005 Office Action finally rejecting the pending claims in the above-identified application. More specifically, Applicants hereby appeal the rejection of all currently pending claims, i.e., claims 11, 15-18, 46, 49, 51-54, 56-72, and 74-77 (Applicants appeal the rejection of claims 11, 15-18, 46, 49 51-54, 56, 58, 60, 65, 66, 69, 71 and 72 under 35 U.S.C 102(b) and the rejection of claims 57, 59, 61-64, 67, 68, and 70 under 35 U.S.C. 103(a)). A check in the amount of \$250.00 (No. 21396) for filing this appeal required by 37 C.F.R. § 1.17(b) is enclosed herewith.

The Commissioner is authorized to charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Ref. No. 24309-501. A duplicate copy of this Notice is enclosed.

11/03/2005 DTESSEM1 00000043 09696762

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Respectfully submitted,

C. Eric Schulman, Reg. No. 43,350

Attorney for Applicants

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Customer No. 30623

Date: November 1, 2005



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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TRANSMITTAL LETTER

Transmitted herewith for filing in the above-identified application are the following documents:

1. Notice of Appeal (1 page);
2. Check No. 21396 in the amount of \$250.00 to cover Notice of Appeal; and
3. Return Post Card.

If the enclosed papers are considered incomplete, the Mail Room is respectfully requested to contact the undersigned collect at 617-542-6000, Boston, Massachusetts.

Applicants believe that no additional fees are due in connection with this submission. However, the Commissioner is authorized to charge any additional fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24309-501. A duplicate copy of this Transmittal Letter is enclosed.

Respectfully submitted,

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